

UP Projects Corporation Ltd.

(UP Government Undertaking)

CIN: U15209UP1976SGC004285



Detail Document/Terms and Conditions for Enlistment of Contractors

Gomti Barrage, Left bank Gomti Nagar, Lucknow-226010

Website: www.upprojects.upsdc.gov.in

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Rules for Enlistment of Contractors in U.P PROJECTS CORPORATION LTD.,

2022

1. Title, extent and commencement

- a) These rules may be called the Rules for Enlistment of Contractors in U.P PROJECTS CORPORATION LTD., 2022.
- b) They shall hereinafter be referred to as Enlistment Rules, 2022 for the sake of brevity.
- c) They extend to the whole of India.
- d) They shall come into force with effect from 16th December 2022.

2. Definitions

In these rules, unless the context otherwise requires:

- i.) **“Civil”** means construction of a residential or non-residential structure consisting of foundation, walls, floors, roofs, finishing, civil and electrical services, plumbing, water supply, sewer, necessary infrastructure like internal roads, boundary wall, external electrical services and horticulture work etc; related to campus of the building awarded under a single contract. Building work includes any one or more of the following works: construction of basement, multilevel vehicular parking, sports facilities, railway or metro station, airport terminal building, repair and maintenance, additions, alterations, renovations, up- gradations, electrical installations, electrical and mechanical services of buildings.
Exclusions: Civil work does not include works of supply of materials, housekeeping, sweeping, care taking, watch & ward and other similar works involving labour component only. Building work also does not include operation and maintenance of electrical and mechanical services through original equipment manufacturers.
- ii.) **“Category”** means category of enlistment under these rules.
- iii.) **“Class”** means class of enlistment, in category, under these rules.
- iv.) **“Contractor”** means an individual, partnership firm, limited liability partnership or company executing or intending to execute the work under a contract.
- v.) **“Enlistment”** means enlistment of contractors in accordance with these rules.

3.0 General

- i.) The object of enlistment of contractors is to have a ready list of suitable and competent contractors for U.P PROJECTS CORPORATION LTD. works so as to minimize the requirement of verification of their credentials at the time of individual tenders. At the same time, only those contractors are allowed to continue in the list that remain active in U.P PROJECTS CORPORATION LTD. and perform satisfactorily.
- ii.) The enlistment of a contractor in U.P PROJECTS CORPORATION LTD. shall only entitle him to participate in the tenders, subject to the conditions of each notice inviting tender. It does not confer on him any right or claim to qualify him or to award work to him.
- iii.) These rules may be revised or repealed by new rules. The enlistment of a contractor shall be governed by the revised or new rules existing at the relevant time, if any, and not by the rules prevailing at the time of enlistment.
- iv.) The term U.P PROJECTS CORPORATION LTD. shall include **U.P. Projects Corporation Limited (A GOVERNMENT OF UTTAR PRADESH ENTERPRISE)**.
- v.) *Timely work completion, quality and behavior of the bidder shall be considered at the time of Enlistment of Contractor.**

4.0 Repeal

- i.) All existing rules regarding enlistment and revalidation of contractors in U.P PROJECTS CORPORATION LTD. are hereby repealed.

5.0 Enlistment categories, classes and tendering limit

The contractors shall be enlisted in the categories and classes mentioned in Rules 5.1 to 5.9.

i.) Civil Work

The classes of enlistment in civil category are Class A+, A, B, C, D and E. The contractors enlisted in civil category will bid for civil works up to the tendering limit given in Table 1.

Civil work means construction of a residential or non-residential structure consisting of foundation, walls, floors, roofs, finishing, civil and electrical services, plumbing, water supply, sewer, necessary infrastructure like internal roads, boundary wall, external electrical services and horticulture work etc. related to campus of the building awarded under a single contract.

Civil work includes any one or more of the following works: construction of basement, multilevel vehicular parking, sports facilities, railway or metro station, airport terminal building, repair and maintenance, additions, alterations, renovations, up-gradations, electrical installations, electrical and mechanical services of buildings. Exclusions: Civil work does not include works of supply of materials, housekeeping, sweeping, care taking, watch & ward, and other similar works involving labour component only. Building work also does not include operation and maintenance of electrical and mechanical services through original equipment manufacturers.

ii.) Tendering limit

The enlisted contractors shall be eligible to bid for specified category works where the estimated cost put to tender is not more than their tendering limit, without pre-qualification or eligibility bid, but subject to bidding capacity, unless otherwise specified in the bid document. The tendering limits of all categories and classes of contractors are given below in Table 1 and 1A. These tendering limits may be revised or changed from time to time.

The enlisted contractors can tender within their tendering limit for works all over the country irrespective of jurisdiction of the enlistment authority. The tendering limit is uniform all over India.

Table 1:		
Tendering limits of enlisted contractors (Civil Works)		
Class, Category and Tendering limit (Rs. in crore)		
Category	Civil Work	
S No	Class	Tendering Limit
1	A+	50.00
2	A	20.00
3	B	5.00
4	C	2.00
5	D	0.50
6	E	0.10

6.0 Eligibility criteria for enlistment

6.1.1 The status of an applicant for enlistment as a contractor in U.P PROJECTS CORPORATION LTD. may be one of the following.

- (a) An individual, who is a citizen of India
- (b) Sole proprietorship
- (c) Partnership firm
- (d) Limited liability partnership
- (e) Private limited company
- (f) Public limited company

6.1.1 No individual or any firm, limited liability partnership, private or public limited company having such individual as one of its partners or directors, who is a dismissed government servant; or demoted to a lower class of enlistment; or removed from the enlistment; or having business banned by any government department or public sector undertaking or local body or autonomous body in the past; or convicted by a court of law, shall be entitled for enlistment. However, enlistment may be considered where disciplinary action was taken against the contractor for a specified period and such period is already over.

6.1.2 No engineer or any other official employed in engineering or administrative duties in any engineering department of the Government of India/State/PSU is allowed to work in U.P PROJECTS CORPORATION LTD. either as a contractor or as an employee of a contractor for a period of one year after his retirement from Government service unless he has obtained prior permission of Government department/PSU to do so.

A partner of a firm or a director of a company enlisted as a contractor cannot be a partner or director in any other firm/company in that category in U.P PROJECTS CORPORATION LTD.

6.1.3 A contractor is permitted to have enlistment in more than one category but not in more than one class in the same category.

6.1.4 A contractor is not permitted to have enlistment in more than one name in a category

6.2 Work experience

The criterion for work experience shall be completed and ongoing works, as given in Rule 6.2.1 of these rules, of the prescribed nature and magnitude executed on independent contract basis during the last seven years (works executed on labour rate contracts will not be considered). If there is no ongoing work, then that work of required magnitude may be considered for work experience which was completed during the last one year from the date of online payment of processing fee. The value of works executed during the last 7 years shall be brought to current value by enhancing the actual cost of work at simple rate of 7% per annum, calculated from the date of completion of work to the date of submission of application. The works should have been executed in the same name and style in which the enlistment is sought by the applicant. Experience gained by executing work on back-to-back contract basis is not acceptable. Experience of a petty contractor, labour rate contractor, sub-contractor, sub-letting work shall not be accepted. The work secured as an associate contractor of the main contractor, to whom a contract was/has been awarded, shall not qualify for consideration of enlistment. The applicant shall furnish the list of completed and ongoing works in Annexure-III-A and III-B respectively. He shall also furnish award letters and copy of final bills of the works mentioned in Annexure-III-A and III-B. Works with time overrun (TOR) of 3 or more shall not be considered for enlistment, where TOR means actual time of completion divided by the time of completion of the work stipulated in the agreement. The contractor's performance on the completed and ongoing works shall be evaluated on the basis of parameters given in Annexure-VII. The nature and amount of work experience required for different categories and classes of enlistment is given below.

Participants are required to submit TDS Certificates in Form 16-A 26AS, in case the similar works are executed for a reputed private body, (* should be listed companies at state of India, unlisted companies with average annual turnover (of three year) ≥ 1000 cr) which shall form basis for establishing the completion cost of similar work executed by the Participants. Such type of works for private body shall be verified by technical team of U.P PROJECTS CORPORATION LTD. having member not less than PM/Unit incharge. The work considered should be done by agreement. The work should be with central/state Government department central autonomous body/central public sector undertaking/state public sector undertaking/city development autonomous/municipal corporation of city formed under Act by central/state government and published in central/state gazette and the reputed private entities shall only be considered.

6.2.1 The nature and magnitude of work experience required for **Civil Works**, are given in **Table 2** below.

Table 2						
Nature & Magnitude of Minimum Work Experience for Category and Class						
Category: Civil (A+,A,B,C,D) Magnitude in Rs.Crore						
	Class					
(a) Nature of completed work	A+	A	B	C	D	E
Three Similar works each of value	8.00	2.00	0.80	0.20	0.04	-----

Or						
<i>Two Similar works each of value</i>	<i>10.00</i>	<i>2.50</i>	<i>1.00</i>	<i>0.25</i>	<i>0.05</i>	<i>-----</i>
Or						
<i>One Similar work of value</i>	<i>16.00</i>	<i>4.00</i>	<i>1.60</i>	<i>0.40</i>	<i>0.08</i>	<i>0.10</i>

Note for Civil Category:

1. Works having more than 40% E&M component shall not be considered for enlistment.
2. For class A+ the applicant must have experience of one building of G+4 or more storey either as an eligible work or as part of some other work under different agreement. For this purpose, each basement/stilt floor will be considered as a storey. Mumty, lift machine room and water tank shall not be considered as a storey.
3. For class A+, A and B the applicant must have experience of one building with Structure either as the eligible work or as part of some other work under different agreement.

6.3 Financial Soundness

6.3.1 The financial soundness of the applicant shall be judged on the basis of:

(i) For Class 1, to 5 of all categories.

(a) Banker's Certificate of the value prescribed in Table 3 and 3A

or

Net Worth /Solvency Certificate of the value prescribed in Table 4

and

(b) Average Annual Turnover Certificate on construction works prescribed in Table 3 during the last three financial years from a Chartered Accountant.

(ii) Post graduate or graduate engineers or architects, diploma engineers, from a recognized Institution or University (excluding those employed with Central or State Government Organizations or PSUs or Institutions) and retired Central/State Government engineers or architects seeking enlistment for the first time in Suitable category (as the case may be), are required to submit the Banker's Certificate or Net worth/Solvency Certificate. Exempting Average Annual Turnover Certificate and Work Experience Certificate.

6.3.2 Banker's Certificate shall be issued by a SBI/ Nationalized bank/ Scheduled Commercial Bank on its letter head addressed to the enlistment authority in the format prescribed in Annexure V-A, and shall be submitted in original. Average Annual Turnover Certificate shall be in the format prescribed in Annexure V-B. The Net Worth Certificate shall be in the format prescribed in Annexure V-C. These certificates shall be duly signed and issued by the certified Chartered Accountants on their letter heads. In the Net Worth Certificate, the Chartered Accountant should also certify that "the net worth of the applicant has not eroded by more than 30% in the last three years ending on (the relevant date).

In case of individuals, firms and undivided Hindu family proof of the solvency of the applicant will consist of a certificate signed by the Distt. Magistrate concerned or a certificate of reference of a scheduled Bank.

6.3.3 The amounts of Banker's Certificate and Average Annual Turnover Certificate are given in Table 3 and 3A. The amount of Net worth Certificate is given in Table 4 and 4A.

Table 3 Requirements of Banker's Certificate and Average Annual Turnover Certificate, amount in Rs. Crore		
Category	Civil Work	
S No	Class	Annual Turnover
1	A+	8.00
2	A	2.00
3	B	0.80
4	C	0.20
5	D	0.04
6	E	0.02

Table 4: Requirement of Net Worth/ Solvency Certificate, (@ 40% of minimum value of tender limit) in Rs. crore		
Category	Civil	
S No	Class	Net Worth/ Solvency
1	A+	8.00
2	A	2.00
3	B	0.80
4	C	0.20
5	D	0.04
6	E	0.02

6.4 Engineering establishment, tools, plants, and machinery

Proof of possession of required Machinery tools & plants will consist of a declaration by the applicant in the following form made in the presence of stipendiary Magistrate- giving full particulars of the equipment's or an Affidavit, for the same verified by a notary.

I S/o resident of *Karta/partner of applicant for enlistment as a contractor, in the U.P PROJECTS CORPORATION LTD., do hereby declare that I/We possess the following machinery, tools & plants. I undertake that if there is any reduction in this equipment below the limit required by the relevant rules I/We will inform the authority to whom application for enlistment is being made.

Table-5			
Particulars of Machinery etc.	Estimated Cost	Approximate Age	Remark
1	2	3	4

Table 6: Requirements Machinery-tools and plants required for enlistment in Civil Category							
Sl. No.	Name of Equipment	Class A+	Class A	Class B	Class C	Class D	Class E
1	Concrete Mixer	9	4	3	2	-	-
2	Vibrators	1 2	8	6	4	-	-
3	Concrete Pump	2	1	-	-	-	-
4	Cube Testing Machine	1	1	1	1	-	-
5	Bar Cutting Machine	4	2	1	1	-	-
6	Bar bending Machine	2	1	-	-	-	-
7	Steel Shuttering Plate	9000 sqm	5000 sqm	-	-	-	-
8A	Steel scaffolding Adjustable telescopic props. Adjustable spans	16000 Nos	8000 Nos	5000 Nos	-	-	-
8B	Adjustable spans	4500 Nos	3000 Nos	2000 Nos	-	-	-
9	Electronic Total Station instrument	1	-	-	-	-	-
10	Ultra-Pulse Velocity Meter	1	1	-	-	-	-
11	Rebound Hammer Test Machine	1	1	1	1	-	-

The application shall submit an undertaking in the application form (Annexure-1) to hire or otherwise procure the required engineering establishment, tools, plants, and machinery, if not already available with him. In case the contractor fails to deploy the requisite engineering establishment, tools, plants, and machinery, either owned or hired as per requirement of work, then the contractor shall be liable for disciplinary action under these Enlistment Rules.

6.5 Proof of employment of technical staff

Proof of employment of the required technical staff will consist of declaration by the applicant in the following form in the presence of a Notary Public giving full particulars of the required staff. I.....S/o.....R/o..... *Karta/partner Ofapplicant for enlistment as a contractor in the Uttar Pradesh Project Corporation Limited. do hereby declare that the following persons are in my/our regular employment on the post & from the dates mentioned against them.

I undertake that if any of the post falls vacant and is unfilled for more than one.

Table-7					
Sl. No.	Name & address	Technical Qualification	Post held	Date of regular continuous employment	Aadhar /PAN Noof Staff

* If the applicant is not an individual Declared in my presence

Seal (Notary public)

Sd.

Applicant

6.6 Minimum technical staff required for enlistment

Table 8: Requirements technical staff required for enlistment in Category-Civil									
Sl. No.	Requirement of Technical Qualification			Class A+	ClassA	ClassB	ClassC	ClassD	Class E
1	Graduate experience)	Engineer	(20 Year	1	-	-	-	-	-
2	Graduate experience)	Engineer	(10 Year	1	1	-	-	-	-
3	Graduate Engineer (5 Year experience)/Diploma Engineer (10 Year experience)			2	1	1	-	-	-
4	Graduate Engineer (2 Year experience)/Diploma Engineer (5 Year experience)			2	2	2	2	-	-

6.7 Electrical license

A Valid Electrical License required for all category and class except E, if the applicant does not possess electrical license in his own name he shall submit an undertaking in the application form to associate an agency having valid electrical license of appropriate voltage in its name issued by the State Government concerned under Section 45 of the Indian Electricity Rules, 1956 as amended from time to time, for execution of work which requires such a license. Such associate agency shall keep valid electrical license throughout the period of execution of work by getting it renewed at suitable intervals. In the event of any default on the part of the contractor in this regard, his enlistment is liable to be cancelled.

6.8 All the contractors are required to possess valid GST registration on the date of application for enlistment.

6.9 Contractor should furnish an Affidavit as Annexure-V-D on Rs 100/- non-judicial stamp paper.

6.10 Criteria for evaluation of performance

The enlistment shall be done on the basis of evaluation of performance of the applicant on the completed and ongoing works listed in Annexure-III A and III-B. The criteria for evaluation are given in Annexure-VII.

7.0 Enlistment procedure

7.1 The applicant is advised to carefully read the “Instructions for applicants” at the end of these Rules.

7.2 The enlistment shall be done in the prescribed categories and classes by the enlistment authorities specified in Rule 7.4. The applicant shall apply to the enlistment authority that has jurisdiction over the area where registered office of the former is located.

7.3 Enlistment fee

The applicant shall have submitted in form of Demand Draft / Pay Order/Online Fund Transfer in prescribed Bank account, the processing fee prescribed in Table 10 below in favor of “**U.P Projects Corporation Limited**”payable at **Lucknow**”. **The processing fee is non-refundable**. The applicants are, therefore, advised to ensure that they fulfill the prescribed eligibility requirements of enlistment before applying and making the payment. The enlistment authority shall not be responsible for refund of processing fees paid more than once on account of multiple transactions.

Detail of Beneficiary for Online Fund Transfer

1. **Beneficiary Name:** U.P Projects Corporation Limited.

2. **Address** : Gomti Nagar, Lucknow 226010

3. **Bank Name** : Punjab National Bank

4. **Branch** : M.G. Marg, Lucknow U.P

5. **A/C No.** 4117000100006552

6. **IFSC Code** : PUNB0667100

7. **MICR Code** :

8. **PAN No** : A A A C U 3 3 9 3 F

9. **GST No.** :09A A A C U 3 3 9 3 F 1 Z 8

Table 10: Enlistment fee in Rs.			
S No	Category and Class	Fresh Enlistment Fee	Enlistment Renewal Fee
1	A+	75,000	37,500
2	A	40,000	20,000
3	B	25,000	12,500
4	C	15,000	75,00
5	D	10,000	5000
6	E	5000	----

7.4 The prescribed application form along with all supporting documents shall be submitted to the enlistment authority along with the processing fee/online fee deposit receipt. In case of any difficulty, the applicants may call Enlistment authority office during office hours on all working days (every day except Sundays, and holidays).

8. General Security

(1) A general security as mentioned in Table-11 shall be deposited by the contractor within 15 days of the receipt of enlistment or within such period, not exceeding one month as may be extended by the authority ordering enlistment. If no such security is deposited the order of enlistment will be deemed to have lapsed and the matter will be finally closed.

(2) In case a tender is accepted & the contractor fails to sign the contract and execute the work, earnest money or the initial security shall be forfeited from his General Security or the amount deposited separately. In addition to above action to debar, the contractor from tendering for certain period or forever may be taken by the authority of enlistment.

(3) The authority competent to pass such orders may order recovery of any amount, due from a contractor in respect of any work by deduction from the general security. In all cases of recoveries from the general security, the contractor shall deposit additional general security to as to make up the amount mentioned in Table-11 within one month of the date of receipt of intimation of deduction or recovery. If the contractor fails to make such deposit, his enlistment will be deemed to have come to an end.

The general security may be refunded to the contractor on the expiry of a period of 6 month from the removal of his name from the Register of classified Contractors.

Table-11 General Security		
Sl.No.	Category & Class	Required General Security Amount in Form of FDR/NSC and Pledged to
1	A+	Rs. 25.00 Lacs Pledged to “U.P Projects Corporation Limited”
2	A	Rs. 10.00 Lacs Pledged to “U.P Projects Corporation Limited”
3	B	Rs. 5.00 Lacs Pledged to “U.P Projects Corporation Limited”
4	C	Rs. 2.00 Lacs Pledged to “U.P Projects Corporation Limited”
5	D	Rs. 1.00 Lacs Pledged to “U.P Projects Corporation Limited”

9. DEBARRING

Any contractor (including a firm with all its known partners and proprietors) whether Registered or otherwise may be debarred by an officer not below the rank of General Manager (Zone/HQ) from getting any work for a specified period depending upon the gravity of the default of the part of the contractors. Enlistment **Authority** can debar from work in their own Zone /whole of the U.P PROJECTS CORPORATION LTD. The debarring may be done where the

contractor/contractors: -

- a. Fails to execute contract (s) or executes it unsatisfactorily or is proved to be responsible for constructional defect (s) revealed after the expiry of the prescribed period, or
- b. Violates any important conditions of contract,
- c. Contractor has shown undesirable manners behaviors tec. in business dealing, or
- d. Persistently violates the provisions of labour Regulations and Rules, or
- e. Some significant structure (s) is passed against him/they by a court of law and which makes it necessary to debar him/they or
- f. Where there may be other adequate ground (s) justifying such an action.

10. BLACKLISTING

Enlistment Authority may blacklist a contractor including a firm with all its known partners and proprietor registered or otherwise where: -

- a. There are sufficient & strong reason to believe that the contractor or his employees has been guilty of malpractices such as bribery corruption, fraud including substitution of, or interpellation in tenders, pilfering or unauthorized use or disposal of Government materials issued for specific works etc.

N.B. Explanation – Any act or commission by the contractor which leads or would have led to an unfair gain to himself and consequent loss to the Government shall be deemed to be a malpractice within the meanings of the above clause.

- b. The contractor continuously refuses to pay Govt./U.P PROJECTS CORPORATION LTD. dues without showing adequate reasons and where the ordering authority is satisfied that no reasonable dispute attracting reference to arbitration or Court of Law exists for the contractor's or
- c. where a contractor has been convicted by a court of law for offences involving moral turpitude in relation to the business dealings, or
- d. Where security considerations including suspected disloyalty to the state so warrant the blacklisting order.

Action for blacklisting contractor should be taken only where it is established that offence was committed in order to secure advantage to the contractor and not where the object may be to secure advantage to the person concerned via employee or representative of the contractor, personally.

Note

1. Particular care should be taken to see that those against whom corrective or administrative action is taken as above do not transact business with Govt. under a different name or title.

2. Once the orders for debarring/blacklisting are issued they should not be ordinarily revoked unless.

a. On a review the ordering authority or the authority higher than it is of the opinion that the punishment already meted out is adequate in the circumstances of the case or the order so passed was not justified or,

b. In respect of the same facts the accused has been honorably acquitted by a Court of Law.

3. Copies of all blacklisting orders should immediately be forwarded by the HQ General Manager (Technical), U.P PROJECTS CORPORATION LTD. to the Head of other Sister Engineering Departments/PSU of the State. Two copies of the orders may also be submitted to the Government in Public Works Department who will transmit a copy thereof to the Government of India.

4. All investigations, discussion correspondence and orders relating to the cases of debarring and blacklisting should be "CONFIDENTIAL" excepting in the case of blacklisting on ground of suspected loyalty &/ or participation in subversive activities, which should be classified as "SECRET" Even in the case of blacklisting for fraud corruption etc., the discussions or the investigations relating to the case may have to be kept secret if the circumstance demand.

5. The fact of the reason (s) for, debarring or blacklisting shall not be communicated either to the contractor concerned or any member of the public but if for any administrative reasons it becomes essential to make such a communication, it must be only a bare intimation of the non-requirement of the services (for debarring) or blacklisting, without assigning any reason (s) for the action taken but where a contractor is blacklisted formal practices e.g. corruption bribery etc. even the fact of blacklisting shall, under no circumstances be intimated or leaked out to the contractor or any member of public. If representations are received, care must be taken not to assign any reason for the action either orally or in writing. Where by some means.... A contractor comes to know of the decision to debar or blacklist and asks for information on the point, then either no such information should be supplied to him or only a noncommittal reply should be given. The General Security, if any, of the affected contractor should not be retained but released immediately after the debarring/blacklisting orders with as simple intimation to the contractor on the following lines (which may be modified, if at all necessary).

"This is to inform you that services are no longer required by the (Name of Dept. Or office) – Your General Security Deposit is accordingly returned herewith"

6. The debarring/blacklisting orders should be circulated to all officers authorized to invite tenders for works in U.P PROJECTS CORPORATION LTD., by means of semi-official letters (marked "CONFIDENTIAL" or "SECRET" as necessary), giving complete particulars i.e. name father's name caste postal and regular residential addresses of the persons/firms bodies involved. The order should be on the following lines in case of debarring.

1. "Services of (give name of contractor or firm) should not be utilized for any work of U.P PROJECTS CORPORATION LTD./ (....) Zone for a period of (....) expiring of (.... date) the particulars of the contractor/ firm are given below: -

and with regard to the blacklisting orders should be on the following lines

"It has been decided to blacklist the contractor/firm mentioned below: -

Name of the contractor

Father's name caste,

Postal and regular residential addresses of the person/firms/Bodies involved.

1. The contractor/firm need not be informed of this decision nor should the reasons for which they have been blacklisted be disclosed to them.

7. Debarring/blacklisting order should be taken so simply that the persons/firm/bodies involved are not to be considered as perfectly fit for the handling of any Govt. Business for the time being or for such duration as the order may specify. Where there are recommendations of instruction from the competent authority for suspension of even

the current business with the person/ firm/bodies involved it may be given effect to so far as.....may be feasible under the existing terms and condition of the Agreement (s) contract (s) due to the premature closure of the business dealings.

11. REGISTER OR CONTRACTORS CONFIDENTIAL RECORD: -

The register of contractor's confidential record should invariably be maintained and kept up to date by each Zonal GM office and at HQ General Manager (Technical) wherein be sides other particulars, any undesirable (s) noticed in the Working, dealings behavior etc. Should immediately be recorded and after a minute and personal investigation into the matter necessary report and recommendation may be submitted through proper channels, for the consideration and decision of the enlistment authority.

11.1 Applications received without processing fee shall be summarily rejected. The applicants will be provided one opportunity to clarify and attend to shortcomings which shall be intimated at their given address. In the event of no response or incomplete response within one month of the issue of the letter by the enlistment authority seeking any clarification and/or document, the application will be rejected.

11.2 The enlistment authority shall have the right to independently verify the details furnished by the applicant, to get completed and ongoing works inspected, and to obtain such reports as may be considered necessary like inspection/performance reports of completed and ongoing works, details of registration or incorporation, Form 16A (Tax Deducted at Source by Client) and/or Form 26 AS (Annual Tax Statement), PAN, etc.

11.3 All verifications, submission of inspection reports related to works etc. are to be pursued by the applicant. The applicant shall provide all the necessary documents of work and help for inspection of the work to the inspecting authority after the receipt of intimation for inspection of work from the enlistment authority, and shall accompany and facilitate the team of U.P PROJECTS CORPORATION LTD. officers for inspection of work. A part from completed works, the ongoing works will also be inspected by the team of U.P PROJECTS CORPORATION LTD. officers. Inspection Report containing the grading on quality and other performance parameters will be issued by the inspection team in Annexure-IV-A and Annexure-IV-

B. The details of inspection team are given in paragraph 7.0 of the SOP for Departmental Officers. Any delay on account of such verification and reports will not make the applicant entitled for any type of relief.

11.4 If the enlistment authority finds the applicant eligible for enlistment, it shall issue the enlistment order. Otherwise, it shall send a letter of rejection to the applicant. Where the application is rejected, the applicant may apply for review to the enlistment authority within 60 days of the issue of letter of rejection. The decision of the enlistment authority on the review application shall be final and binding on the applicant.

11.5 While applying for enlistment, the applicant should mention the address of his registered office as well as head and branch office, if different from registered office. All documents including Bankers' Certificate should bear one of the above-mentioned addresses; otherwise, these documents shall not be accepted.

11.6 The General Manager (Zone), U.P PROJECTS CORPORATION LTD. reserves the right to notify the period during which no application in form of Demand Draft / Pay Order n for enlistment in any category or class will be received on all India or regional or state or location basis or in any other manner. For any clarification or interpretation of any of the provisions of these Rules, the matter shall be referred for decision to the in form of Demand Draft / Pay Order, U.P PROJECTS CORPORATION LTD. along with the comments of the enlistment authority concerned. The in form of Demand Draft / Pay Order, U.P PROJECTS CORPORATION LTD. shall be the competent authority to make necessary amendments in these Enlistment Rules as deemed fit, and to relax any condition(s) in the eligibility criteria for enlistment in any category or class or in an individual case.

12.0 Validity of enlistment

The enlistment shall be valid up to a period of Two years from the last date of month of issue of order or as mentioned in the enlistment order. The contractors may apply for fresh enlistment any time. The enlistment shall be open to review by the enlistment authority and liable to demotion, suspension, cancellation, or any other such action at any time, if considered necessary by the enlistment authority, after issue of show cause notice if required.

13.0 Change in the status, constitution, name, and address

i) An enlisted entity shall apply to the enlistment authority for change in its status (see Rule 6.1) on the basis of work experience of the original entity, if the new entity is proposed to be formed with minimum 50% of the original constituents and minimum 50% share for them. All other criteria for enlistment under these Rules shall remain the same. The application for change in the status shall be made in the form prescribed at Annexure VI along with supporting documents mentioned therein. Conversion of partnership firm to limited liability partnership and vice versa is not permissible.

ii) The enlisted partnership firm shall not modify the existing partnership or enter into fresh partnership without the prior approval of the enlistment authority. Application for such prior approval shall be made in the form prescribed at Annexure VI along with full details of the intended modified partnership, draft partnership deed and other documents mentioned therein. The change in the constitution of the firm shall be intimated to the enlistment authority within one month of the registration with the Registrar of Firms, failing which the enlistment is liable to be cancelled.

iii) If a firm is converted in two or more firms by any action of its partners, its enlistment shall be cancelled. The new firm(s) or any separated partner(s) may apply for enlistment afresh on the basis of work experience gained as a separate entity.

iv) If new partners are taken in a partnership firm, each new partner shall have to satisfy the eligibility conditions mentioned in Rule 6.1 of these Enlistment Rules.

v) If due to death of partner(s) or for any other reason, the number of original partners reduces to less than half of the original number, or the remaining partners have share of less than 50%, the enlistment of the partnership firm shall be cancelled. Here original partners mean constituents at the time of enlistment and those partners who were added due to the change in constitution and have remained as constituent in the partnership firm for 5 years or more.

vi) The change in the name of an entity is permissible with the prior approval of the enlistment authority. The application for change in the name shall be made in the form prescribed at Annexure VI. The contractor shall intimate the change in the name of the entity not later than one month of such change along with acknowledgement of noting down of such change in name from the Bank, Income Tax, GST authorities, etc. Failure to do so may result in cancellation of the enlistment.

vii) The contractor shall intimate the change in the addresses of registered office or head office not later than one month of such change along with acknowledgement of noting down of such change in address from the Bank, Income Tax, GST authorities, etc. Failure to do so may result in cancellation of the enlistment.

14.0 Contractor's near relatives working in U.P PROJECTS CORPORATION LTD.

The contractors whose near relatives are employed in any capacity in the U.P Projects Corporation Limited will not be allowed to tender for works if the Unit or Zone responsible for award and execution of contract is the one where the near relative is working. For this purpose of this Rule, a near relative shall mean wife, husband, parents, grandparents, children, grandchildren, brothers, sisters, uncles, aunts, cousins and their corresponding in-laws.

15.0 Review of enlistment

The contractors are expected to bid for works of appropriate magnitude during the enlistment period. Their application for re-enlistment may be rejected if they persistently fail to bid for any U.P PROJECTS CORPORATION LTD. works during the

enlistment period of 5 years.

16.0 Enlisted contractors' obligations

The contractor shall fulfill all his obligations under these Rules in the prescribed manner, failing which he shall be liable for disciplinary action as mentioned therein. Some of the obligations are summarized below.

- (a) An enlisted entity shall not change its status without the prior approval of the enlistment authority.
- (b) The enlisted partnership firm shall not modify the existing partnership or enter into fresh partnership without the prior approval of the enlistment authority.
- (c) An enlisted entity shall not change its name without the prior approval of the enlistment authority.
- (d) Intimation of change of address should be given within one month of such change along with acknowledgement of noting down such change from Bank, Income Tax, GST authorities, etc.
- (e) A Valid Electrical License required for all category and class except E, if the applicant does not possess electrical license in his own name he shall submit an undertaking in the application form to associate an agency having valid electrical license of appropriate voltage in its name issued by the State Government concerned under Section 45 of the Indian Electricity Rules, 1956 as amended from time to time, for execution of work which requires such a license. Such associate agency shall keep valid electrical license throughout the period of execution of work by getting it renewed at suitable intervals. In the event of any default on the part of the contractor in this regard, his enlistment is liable to be cancelled.
- (f) He is expected to bid for and secure works of appropriate magnitude during the enlistment period.
- (g) He shall abide by the Enlistment Rules and amendments issued by the competent authority.
- (h) He shall not indulge in unethical practices and maintain good conduct.
- (i) He shall execute the works awarded to him with due diligence and strictly as per the conditions of the contract and specifications.
- (j) He shall submit the performance report of each work executed by him in the approved format duly filled with all the required details to the respective Project Manager within 3 months of completion of the work.
- (k) He shall have obligation to rectify construction or structural defects observed after completion of work for a period of minimum 5 years from the date of completion of the work.

17.0 Cancellation of enlistment

The enlistment of contractor may be cancelled, if he:

- (a) fails to execute a contract or executes or executed it unsatisfactorily; or
- (b) violates any important conditions of the contract; or
- (c) fails to abide by the conditions of enlistment; or
- (d) is found to have given false particulars at the time of enlistment; or
- (e) has indulged in any type of forgery or falsification of records; or
- (f) changes constitution of the firm without the prior approval of the enlistment authority; or
- (g) changes the name of the entity without the prior approval of the enlistment authority; or
- (h) changes permanent address/business address without intimation to the enlistment authority; or
- (i) is declared or is in the process of being declared bankrupt, insolvent, wound up, dissolved or partitioned; or
- (j) violates the labour regulations and rules; or
- (k) is involved in complaints of serious nature received from any source, which have been proved; or
- (l) defaults in settlement of tax dues like income tax, GST, etc.; or
- (m) has already been demoted for other reason(s); or
- (n) ceases to fulfill eligibility criteria based on which enlistment was done; or
- (o) is considered as not required to be in list of U.P PROJECTS CORPORATION LTD. contractors for any other reason considered fit by the enlistment authority; or
- (p) does not start the work after the same is awarded to him on two occasions; or

(q) Fails to rectify construction/structural defects within a reasonable time not exceeding 2 months, pointed out to him by the engineer-in-charge during the period of 5 years from the date of completion of work.

18.0 Re-enlistment

The enlisted contractor may apply for re-enlistment in any other category and class for contractor is prior enlisted at any time. Enlisted contractors are advised to apply for re-enlistment about three months prior to expiry of their present enlistment order. The rules for enlistment and re-enlistment are the same

19.0 Renewal of enlisted Contractor

The enlisted contractor may apply for renewal in same category and class are advised to apply for renewal three months prior to date of expiry, latest before 15 days from expiry of their enlistment order. After that day till end of expiry of their enlistment order contractor has to submit additional 10% of enlistment fee on account of late fee. After expiry of date of enlistment order contractor has to apply for Re-enlistment as per clause 19.0 above. The rules for enlistment, Re-enlistment and renewal of enlistment are the same but enlistment fee are as per Table 10.

INSTRUCTIONS FOR APPLICANTS

Procedure for submission of forms

1. The Detailed notice and other details can be obtained / downloaded from the website: <https://www.upprojects.upsdc.gov.in>. The contractors should bid considering their eligibility & apply for the specific discipline & category of works only. **Contractors who want to apply for more than one Category & Monetary Limit should do so through separate application including enlistment fee.**
2. Complete application form may be sent to the enlistment authority prescribed in Rule 7.4, only by Speed Post, along with all required self-attested documents.

Procedure for obtaining prior approval for change in the status or constitution or name

Application for obtaining prior approval for change in the status or constitution or name may be made in Annexure-VI. The complete application form along with all the required self-attested documents may be sent to the enlistment authority prescribed in Rule 7.4, only by Speed Post.

Rejection of application for enlistment

1. Applications received without processing fee shall be summarily rejected.
2. **The processing fee is non-refundable.** The applicants are, therefore, advised to ensure that they fulfill the prescribed eligibility requirements of enlistment before applying and making the online payment. The enlistment authority shall not be responsible for refund of processing fees paid more than once on account of multiple transactions.
3. The applicants will be provided one opportunity to clarify and attend to shortcomings, which shall be intimated at their given address. In the event of no response or incomplete response within one month of the issue of the letter by the enlistment authority seeking any clarification and/or document, the application will be rejected.

Annexure-I

(Refer to Rule 6.0 and 7.0)

Application for Enlistment in all categories and classes

(Supporting documents annexed with the application form should be listed in Annexure-II)

Class.....

Category.....

1. (a) Name of the applicant.....

(b) Status of entity (Individual/Sole Proprietorship/Partnership Firm/Limited Liability Partnership/Company)

.....

(c) Registration Number for Firm/LLPIN for LLP/CIN for Company.....

2. Nationality.....

3. Address

(a) Registered Office

.....

(b) Head Office (if different from Registered office)

.....

4. Contact Details

(a) Telephone Number

(b) Fax Number

(c) Mobile Number

(d) Website URL (If any)

(e) Email Id

5.(a) PAN (Individual / Firm / LLP/Company)

(b) GST registration number

6. Name, scanned passport size photograph and signature of the Individual(s)/ Partner(s)/Director(s) (Size of photograph should be 2.5 X 3.5 cm having white background and printed name at bottom)

1.	2.	3	4
Paste photo	Paste photo	Paste photo	Paste photo
Name	Name	Name	Name

7. Is the individual / sole proprietor / any partner / director of company:

- (a) Dismissed Government servant : Yes No
- (b) Removed from approved list of contractors : Yes No
- (c) Demoted to a lower class of contractors : Yes No
- (d) Having business banned/suspended by any Government in the past : Yes No
- (e) Convicted by court of law : Yes No
- (f) Retired engineer/official from Engineering Department of Government of India within last one year : Yes No
- (g) Director or partner of any other company/firm enlisted with U.P PROJECTS CORPORATION LTD. or any other organization : Yes No.....
- (h) Member of Parliament or any State Legislative Assembly : Yes No

If answer to any of the above is „Yes“ furnish details on a separate sheet.

8. (a) Name of person holding power of attorney (if any):.....

(b) Nationality :.....

(c) Liabilities (if any) :.....

9. (a) Name of the banker :.....

(b) Full address :.....

(c) Phone number :.....

(d) e-mail account :.....

10. (a) Whether already enlisted with U.P PROJECTS CORPORATION LTD. or any other Department : Yes/No

(b) If yes, give details in table below:

S No	Class/Category	Department Name	Enlistment Authority and address	Enlistment Number and date	Validity Date	Tendering Limit (in Rs. lakhs)

11.0(a) Is any person working with the applicant a near relative of the official of U.P PROJECTS CORPORATION LTD. (See Rule 10.0): Yes/No

(b) If yes, give details (Name, Designation, PIMS ID)

11. Enlistment processing fee details:

(a) Bank Draft/Pay order Reference Number and Date

(b) Name of Issuing Bank and Branch

(c) Amount

12. Details of completed and ongoing works secured during the last 7 years, eligible for work experience (to be filled in the proforma given in Annexure-III-A and III-B. This list should include required number of works with gross value of work done (including enhancement) more than the lowest required magnitude of works for the class in which registration is required.

13. Certificates (Strike out whichever is not applicable):

(a) I/We (including all partners) certify that I/We have read the Rules for Enlistment of Contractors in U.P PROJECTS CORPORATION LTD. as amended up to date and shall abide by them.

(b) I/We certify that I/We are not registered and will not get myself/ourselves registered as contractor(s) in the Department under more than one name in the same category.

(c) I/We certify that the information given above is true to the best of my/our knowledge. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.

(d) I/We certify that

(i) The constituents of the Firm/LLP/Company reflected in Sl. No. 1(b) and 7 above are as applicable on the date of this application which tallies with the record of the registering authority. I/none of the partners/directors retired from Government service during the last one year.

(ii) I/We have neither employed nor shall we employ any person within one year of his retirement from the Government except with the prior permission of the Government.

(e) I/We undertake that I/We will hire or otherwise arrange the tools and plants required for the works procured as a

result of this enlistment, if I/We do not have our own tools and plants. I/We further undertakethat I/We will hire or otherwise arrange the required Engineering Establishment required for the works procured as a result of this enlistment, if I/We have not already employed the required Engineering Establishment.

(f) I/We undertake that, if I/We do not possess in my/ our name a valid electrical license as required, I/ We shall associate an agency having such a license for execution of work which requires such a license.

(g)I/We have attached Annexure-II duly completed and signed.

(h) I/We undertake that the works have not been got executed through another contractor on back-to-backbasis.

Signature(s) of applicant(s):

On this line in case of individual or sole proprietor:

In the following table in case of partnership firm or limited liability partnership or company all partners or either all Directors or the Chief Managing Director if authorized specifically by a Board Resolution.

S No	Name	Address	Mobile number	Signature	Date
1					
2					
3					
4					
5					

Annexure-II**Check List****Name of entity:**

Category:

Class:

S No	Document Description	Annexure	Whether enclosed		Page number
			Yes	No	
1	Enlistment processing fee Bank Draft/Pay Order /online fee deposit receipt				
2	Proof of constitution {(Annexure-I, S No 1(b))}				
(a)	In case of sole proprietorship/HUF: an affidavit executed before the Magistrate not below the rank of Executive Magistrate, that the applicant is the sole proprietor of the firm/Karta of HUF.	None			
(b)	In case of partnership firm: Certification of Registration, Partnership Deed, and prescribed documents indicating change in address or constitution of Partnership Firm.	None			
(c)	In case of Limited Liability Partnership: Certificate of Incorporation, Partnership Deed and prescribed documents indicating change in address or constitution of LLP.	None			
(d)	In case of Private/Public Limited Company: Certificate of Incorporation, Articles of Association and prescribed documents indicating change in address or constitution of Board of Directors.	None			
3	Power of attorney, if any, Annexure-I, S No 8 (a) or Board Resolution, if any.	None			
4	Self-attested copy of enlistment order, if any { Annexure-I, S No 10 (a) & 10 (b) }.	None			
5	Electrical license A Valid Electrical License required for all category and class except E, if the applicant does not possess electrical license* in his own name he shall submit an undertaking in the application form to associate an agency having valid electrical license of appropriate voltage in its name issued by the State Government concerned under Section 45 of the Indian Electricity Rules, 1956 as amended from time to time, for execution of work which requires such a license. Such associate agency shall keep valid electrical license	None			

	throughout the period of execution of work by getting it renewed at suitable intervals. In the event of any default on the part of the contractor in this regard, his enlistment is liable to be cancelled.				
6	List of all near relatives working in U.P PROJECTS CORPORATION LTD. { Annexure-I, S No 11(a) & 11 (b)} (See also Rule 10.0 of Enlistment Rules)	None			
7	List of completed and ongoing works (see Rule 6.0) (a) Completed works in Annexure-III-A (b) Ongoing work in Annexure-III-B	III-A III-B			
8	Self-attested copies of award letters and final bill for completed works included in Annexure-III-A (See Rule 6.0).	None			
9	(a) Banker's Certificate from Scheduled Bank in original (in Annexure V-A) or Net Worth /Solvency Certificate in original (in Annexure V-C). (b) Average Annual Turnover Certificate on works during the last three financial years in Annexure V-B.	V-A V-C V-B			
10	Self-attested copies of award letters for works in progress included in Annexure-III-B (See Rule 6.0).	None			
11	Minimum Machinery-tools and plants required for enlistment				
12	Minimum technical staff required for enlistment				
13	Contractor should furnish an Affidavit as Annexure-V-D on Rs 100/- non-judicial stamp paper.	V-D			

Signature(s) of applicant(s) as applicable

Annexure-III-A

(Refer to Rule 6.0)

Details of Completed Works: Eligible works completed during the last seven years

First eligible work		
1	Name of work	
2	Agreement number, date	
3	Agreement amount	
4	Gross value of completed work	
5	Stipulated date of start	
6	Stipulated date of completion	
7	Actual date of completion	
8	Details of services included (a) Civil (water supply, sanitary installation, drainage and water proofing work, etc) (b) Electrical (internal electrical installation, firefighting, fire alarm, HVAC, lift, electrical substation and DG set, etc) (c) Number of storey constructed.	
9	Compensation levied for delay, if any	
10	Details of litigation/arbitration, if any	
11	Details of owner	
	(a) Name	
	(b) Address	
	(c) Phone	
	(d) e-mail	

Certificate: This is to certify that no adverse action has been taken by the department concerned against me/us. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.

Applicant's Signature (As per Annexure-I)

Owner's Signature with seal (Project Manager or Equivalent)

Annexure-III-A

(Refer to Rule 6.0)

Details of Completed Works: Eligible works completed during the last seven years

Second eligible work		
1	Name of work	
2	Agreement number, date	
3	Agreement amount	
4	Gross value of completed work	
5	Stipulated date of start	
6	Stipulated date of completion	
7	Actual date of completion	
8	Details of services included (d) Civil (water supply, sanitary installation, drainage and water proofing work, etc) (e) Electrical (internal electrical installation, firefighting, fire alarm, HVAC, lift, electrical substation and DG set, etc) (f) Number of storey constructed.	
9	Compensation levied for delay, if any	
10	Details of litigation/arbitration, if any	
11	Details of owner	
	(a) Name	
	(b) Address	
	(c) Phone	
	(d) e-mail	

Certificate: This is to certify that no adverse action has been taken by the department concerned against me/us. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.

Applicant's Signature (As per Annexure-I)

Owner's Signature with seal (Project Manager or Equivalent)

Annexure-III-A

(Refer to Rule 6.0)

Details of Completed Works: Eligible works completed during the last seven years

Third eligible work		
1	Name of work	
2	Agreement number, date	
3	Agreement amount	
4	Gross value of completed work	
5	Stipulated date of start	
6	Stipulated date of completion	
7	Actual date of completion	
8	Details of services included (g) Civil (water supply, sanitary installation, drainage and water proofing work, etc) (h) Electrical (internal electrical installation, firefighting, fire alarm, HVAC, lift, electrical substation and DG set, etc) (i) Number of storey constructed.	
9	Compensation levied for delay, if any	
10	Details of litigation/arbitration, if any	
11	Details of owner	
	(a) Name	
	(b) Address	
	(c) Phone	
	(d) e-mail	

Certificate: This is to certify that no adverse action has been taken by the department concerned against me/us. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.

Applicant's Signature (As per Annexure-I)

Owner's Signature with seal (Project Manager or Equivalent)

Annexure-III-B

(Refer to Rule 6.0)

Details of eligible ongoing Works

Ongoing eligible work		
1	Name of work	
2	Agreement number, date	
3	Agreement amount	
4	Gross value of completed work	
5	Stipulated date of start	
6	Stipulated date of completion	
7	Actual date of completion	
8	Details of services included (j) Civil (water supply, sanitary installation, drainage and water proofing work, etc) (k) Electrical (internal electrical installation, firefighting, fire alarm, HVAC, lift, electrical substation and DG set, etc) (l) Number of storey constructed.	
9	Compensation levied for delay, if any	
10	Details of litigation/arbitration, if any	
11	Details of owner	
	(a) Name	
	(b) Address	
	(c) Phone	
	(d) e-mail	

Certificate: This is to certify that no adverse action has been taken by the department concerned against me/us. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.

Applicant's Signature (As per Annexure-I)

Owner's Signature with seal (Project Manager or Equivalent)

ANNEXURE-IV-A

(Refer to Rule 6.0)

Assessment of quality for completed works

Name of work

Date of receipt of reference from Enlistment Authority

Date of inspection

Date of submission of report

S No	Quality of components	Max Marks	Marks obtained
1	Overall Workmanship	20	
2	Line level and geometry of structure/Alignment of equipment	10	
3	Structural defects and distress/Faults developed	10	
4	Seepage and leakage / Earthing for Electrical	10	
5	Final Finishing and quality	10	
6	Installation of fixtures	10	
7	Make of Installed fixtures	10	
8	Completion time as per schedule	10	
9	Overall Client comments	10	
	Total	100	

Note:

1. Those attributes which are not applicable, will not be considered for calculating marks. Relevant documents and photographs must be attached along with the inspection report.
2. Work with TOR of 3 or more shall not be considered for enlistment. TOR means actual time of execution divided by time of completion stipulated in the agreement.
3. Inspecting authority may modify the above attributes by addition/deletion depending upon nature of the work being inspected.

Signature of the inspecting officers
(With Name, Date & Seal)

Annexure-IV-B
(Refer to Rule 6.0)
Assessment of quality for ongoing work

Name of work

Date of receipt of reference from Enlistment Authority

Date of inspection

Date of submission of report

S No	Quality of components	Max Marks	Marks obtained
1	Overall Workmanship	20	
2	Line level and geometry of structure/ Alignment of equipment	10	
3	Labour proficiency	10	
4	Technical proficiency	10	
5	Sanitary and Safety measures	10	
6	Financial soundness	10	
7	Mechanization in Working	10	
8	Time schedule and progress	10	
9	Material management at site	10	
	Total	100	

Note:

- Those attributes which are not applicable, will not be considered for calculating marks. Relevant documents and photographs must be attached along with the inspection report.
- Inspecting authority may modify the above attributes by addition/deletion depending upon nature of the work being inspected.

Signature of the inspecting officers
(With Name, Date & Seal)

Annexure-V-A
(Refer to Rule 6.3)

**Form of Banker's Certificate from a Scheduled commercial
Bank (in sealed cover addressed to Enlistment Authority)**

This is to certify that to the best of our knowledge and information Shri/Smt/M/Shaving registered address, a customer of our bank, is/are respectable and can be treated as reliable for any engagement up to a limit of Rs..... (Rupees.....). This certificate is issued without any guarantee or responsibility on the Bank or any of the officers.

This certificate is issued on the request of Shri/Smt/M/S for obtaining enlistment in U.P. PROJECTS CORPORATION LTD. in (name of category), in Class.....

(Signature)
For the Bank

Note:

1. Banker's certificates should be on the letter head of the bank, in sealed cover addressed to enlistment authority.
2. In case of partnership firm, the certificate shall include names of all partners as recorded with the bank.

Annexure-V-B
(Refer to Rule 6.3)

Form of Certificate of Annual Turnover on works from Chartered Accountant

Certified that following is the annual turnover on works of the individual/firm/company as per returns filed with Income Tax Department for the past 3 (three) financial years.

Name and registered address of individual/firm/company:

.....

S No	Financial Year	Annual Turnover on Works in Rs. lakhs

Unique Document Identification Number (UDIN)

(Signature of Chartered Accountant)

(Name of Chartered Accountant)

Membership No. of ICAI

Date and seal

Annexure-V-C
(Refer to Rule 6.3)

Form of Certificate of Net Worth from Chartered Accountant

It is to certify that as per the audited balance sheet and profit & loss account during the financial year, the net worth of Shri/Smt/M/S.....(Name & Registered Address of individual/firm/company), as on (the date of certificate) is Rs. after considering all liabilities. It is further certified that the net worth of the individual/firm/company has not eroded by more than 30% during the last three years ending on (the date of certificate).

Unique Document Identification Number (UDIN)

(Signature of Chartered Accountant)(Name of
Chartered Accountant) Membership No. of ICAI
Date and seal

Note: The date of certificate shall not be older than one month of the date of payment of processing fee.

(to be executed on rs-100/- non-judicial stamp paper)

Annexure-V-D

(Refer to Rule 6.10)

AFFIDAVIT

1. I, the undersigned, do hereby certify that all the statements made in the required attachments are true and correct.
2. The undersigned also hereby certifies that neither our firm M/s_____ have Abandoned any work in India nor any contract awarded to us for such works have been rescinded, during last five years prior to the date of this bid.
3. The undersigned hereby authorize(s) and request(s) any bank, person, firm or corporation to furnish pertinent information deemed necessary and requested by the Department to verify this statement or regarding my (our) competence and general reputation.
4. The undersigned understand and agrees that further qualifying information may be requested, and agrees to furnish any such information at the request of the Department/ Project implementing agency.
5. The undersigned confirms that the bid shall be valid for 90 days (ninety days) from the opening date of technical bid.
6. I/We are not blacklisted in any state/ Central Gov. department/PSU/Board etc. as on date of submission of this tender
7. I/We undertake and confirm that eligible similar works(s) has/have not been got executed through another contractor on back-to-back basis. Further that, if such a violation comes to the notice of Corporation, then I/we shall be debarred for bidding in U.P PROJECTS CORPORATION LTD. in future forever & declare blacklisted Also, if such a violation comes to the notice of Corporation before date of start of work, the Employer shall be free to forfeit the entire amount of Earnest Money Deposit and Performance Guarantee.

(Signed by an Authorized Officer of the Firm)

Title of Officer

Name of Firm_____

DATE

Annexure-VI

(Refer to Rule 9.0)

Application for change of status, constitution and name of enlisted entity
(Please fill in the applicable parts and strike out inapplicable parts)

Part A

Details of enlistment of the exiting entity

1. Name
2. Address
- (a) Registered office
- (b) Head office
3. Contact details
- (a) Phone number
- (b) Mobile number
- (c) e-mail account
4. Status (individual/sole proprietorship/partnership firm/limited liability partnership/company)
5. Name(s) of the individual/partners/directors of the entity

S No	Name	Share
1		
2		
3		
4		
5		

6. Category of enlistment
7. Class of enlistment.....
8. PAN.....
9. GST Registration number

Part B

Application for prior approval for change of status or constitution of the existing entity

(Give details of the proposed entity)

Prior approval required for: Change of status Yes/No OR Change of constitution Yes/No

1. Name
2. Address
- (a) Registered office
- (b) Head office
3. Contact details
- (a) Phone number
- (b) Mobile number
- (c) e-mail account
4. Status
5. PAN
6. Names of the partners/directors of the proposed entity

S No	Name	Share
1		
2		
3		
4		
5		

7. Is any partner/director of the proposed entity

- | | | | |
|-----|---|---|--------------------|
| (a) | Dismissed government servant | : | YesNo |
| (b) | Removed from approved list of contractors | : | YesNo |
| (c) | Demoted to a lower class of contractors | : | YesNo |
| (d) | Having business banned/suspended by any government organization in the past | : | YesNo |
| (e) | Convicted by a court of law | | YesNo |
| (f) | Retired official from Government of India within last one year: | | YesNo |
| (g) | Director or partner of any other company/firm enlisted with U.P PROJECTS CORPORATION LTD. or any other organization | : | YesNo |
| (h) | Member of Parliament or any State Legislative Assembly | : | Yes No |

If answer to any of the above is yes, furnish details on a separate sheet.

8. (a) Name of the person holding power of attorney (if any)

(b) Nationality

(c) Liabilities (if any)

9. (a) Name of the bank

(b) Phone number

(c) e-mail account

10. (a) Is any person working with the applicant a near relative of U.P PROJECTS CORPORATION LTD. official (See Rule 10.0)

(b) If yes, give details (name, designation, PIMS ID)

11. Certificates (strike out whichever is not applicable):

(a) I/We (including all partners) certify that I/we have read the Rules for Enlistment of Contractors in U.P PROJECTS CORPORATION LTD. as amended up to date and shall abide by them.

(b) I/We certify that the information given above is true to the best of my/our knowledge. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.

(c) I/We certify that

(i) I/none of the partners/directors have retired from Government service during the last one year.

(ii) I/We have neither employed nor shall we employ any person within one year of his retirement from the Government except with the prior permission of the Government.

Signature(s) of applicant(s):

On this line in case of individual or sole proprietor:

In the following table in case of partnership firm or limited liability partnership or company all partners or either all Directors or the Chief Managing Director if authorized specifically by a Board Resolution.

S No	Name	Address	Mobile number	Signature	Date
1					
2					
3					
4					
5					

List of documents:

(a) To be submitted along with application for prior approval

(i) Copy of proposed partnership deed/proposed memorandum of articles, duly signed.

- (ii) An affidavit sworn before a First Class Magistrate by all the partners/directors to the effect that the newentity shall take over all the assets and liabilities of the existing entity.
- (iii) Consent of retiring partners/death certificate of partner.
- (b) To be submitted after obtaining prior approval of the enlistment authority.
- (i) Copy of registered partnership deed/memorandum of articles.
- (ii) Certificate from the banker indicating new status or constitution.
- (iii) Acknowledgment from the Income Tax and GST Departments for having noted the change.

Part C

Application for prior approval for change in the name of an entity

1. Name as per enlistment order.....

2. Proposed name.....

List of documents

- (a) To be submitted along with application for prior approval None
- (b) To be submitted after obtaining prior approval of the enlistment authority.
- (i) An affidavit sworn before a First Class Magistrate by the individual/all the partners or directors to the effect that the entity has changed its name from to
- (ii) Copy of registered partnership deed/memorandum of articles with the new name.
- (iii) Acknowledgment from the banker for having noted the change in name.
- (iv) Acknowledgment from the Income Tax and GST Department for having noted the change in name.

Signature(s) of applicant(s):

On this line in case of individual or sole proprietor:

In the following table in case of partnership firm or limited liability partnership or company all partners or either all Directors or the Chief Managing Director if authorized specifically by a Board Resolution.

S No	Name	Address	Mobile number	Signature	Date
1					
2					
3					
4					
5					

Annexure-VII

(Refer to Rule 6.8)

Criteria for evaluation of contractors' performance for enlistment

Name of the applicant:

Class and category, if already enlisted:

S No	Parameter and evaluation criteria	Maximum marks	Marks obtained
1	Work experience (a) 12 marks for minimum eligible value (b) 20 marks for twice the minimum eligible value or more Marks for intermediate values shall be determined by straight line variation	20	
2	Contract performance (a) 20 marks for completion of work without litigation (b) 12 marks for completion of work with litigation (c) Zero mark for rescission of contract	20	
3	Levy of compensation Let A= Agreement amount, C= Compensation levied for delay and $B = (C/A) \times 100$ (a) 10 marks if $B=0$ (b) 5 marks if $B=5$ or more (c) 6 marks if B is not decided Marks for intermediate values shall be determined by straight line variation	10	
4	Time over Run Let TOR= Actual time for completion/stipulated period of completion of work (a) 10 marks if $TOR = 1$ (b) 8 marks if TOR is more than 1 but less than or equal to 2 (c) 6 marks if TOR is more than 2 but less than 3 (d) Zero mark if TOR is 3 or more	10	
5	Quality of works (a) Completed work (b) Ongoing work	30 10	

Notes:

1. If the work experience consists of more than one completed works, the marks under each parameter shall be worked out separately for each work, and average marks shall be considered for final evaluation.
2. The ongoing work shall be evaluated only for its quality. Only one ongoing work shall be evaluated.
3. If there is no ongoing work, then that work of required magnitude may be considered for work experience which was completed during the last one year from the date of online payment of processing fee.
4. The eligibility criteria for enlistment shall be minimum 60% marks in each parameter, and minimum 70% marks overall.

APPENDIX 'I'

Certificate of Enlistment

Ref No..... Dated.....

Certified that M/s/Shri/Sarvasri/Smt. _____
_____ is/are enlisted
in Category _____ Class _____ contractor in
the U.P.Projects Corporation Ltd, U.P. for _____

This certificate is valid for _____
_____ and shall be valid upto Date.

General Manager Technical
(Enlistment)
U.P PROJECTS CORPORATION LTD.

SOP FOR DEPARTMENTAL OFFICERS FOR ENLISTMENT OF CONTRACTORS

1.0 General

The enlistment of contractors in civil class and categories shall be regulated as per Enlistment Rules, 2021 unless otherwise stated in these Rules.

2.0 “Category” of enlistment are: building,

The classes of enlistment in civil category are Class A+, A, B, C, and D.

3.0 All the contractors are required to possess valid **GST registration** on the date of application for enlistment.

4.0 Enlistment fee

The applicant shall have submitted in form of Demand Draft / Pay Order, the processing fee prescribed in Table 10 below in favor of **“U.P Projects Corporation Ltd” payable at Lucknow**. **The processing fee is non-refundable.** The applicants are, therefore, advised to ensure that they fulfill the prescribed eligibility requirements of enlistment before applying and making the payment.

5.0 General Security

The general security may be refunded to the contractor on the expiry of a period of 6 month from the removal of his name from the Register of classified Contractors.

6.0 Scrutiny of cases

As soon as an application is received from the contractor for enlistment, it should be scrutinized and if some document/information is missing, the applicant shall be intimated of the deficiencies within 15 days. In the event of no response or incomplete response within one month of the issue of the letter by the enlistment authority seeking any clarification and/or document, the application will be rejected. If all the documents are complete, an acknowledgment shall be issued to the contractor within 15 days of receipt of complete application. No application received without the prescribed processing fee or without Annexure- I shall be processed, and the applicant shall be intimated accordingly within 15 days of receipt of application. The enlistment process shall be completed maximum within 3 months of the receipt of application.

7.0 Change in status, constitution and name of enlisted entities

The prior approval for change of status, constitution and name of enlisted entities shall be issued by the enlistment authority within 60 days from the date of receipt of request from the contractor provided the requisite documents as per Annexure-VI are in order. Similarly, the order accepting the change of status or constitution or name shall be

issued by the enlistment authority within 60 days from date of receipt of the application provided requisite documents as per Annexure-VI are in order.

8.0 Performance reports

10.1 Under the Enlistment Rules, it is mandatory for the contractor to submit the performance report for each work executed by him. The reporting officer (engineer-in-charge) shall write the performance report and forward to his reviewing officer (next higher authority) who shall forward it to the enlistment authority after review.

10.2 The performance report must be sent to the enlistment authority latest within two months of completion of work. In case the contractor has not applied for performance report, the PM shall initiate the performance report on his own. Scanned copy of the performance report may be sent by e-mail to the General Manager (Technical).

9.0 Register of enlisted contractors

Each enlistment authority shall maintain register showing the enlistment of various contractors in different classes and categories and send a copy (within one week) of order to HQ General Manager (Technical) for updating the list of Registered Contractors on U.P PROJECTS CORPORATION LTD. Official website. Whenever contractors are demoted, temporarily suspended, or removed from the list of approved contractors, a remark shall be made in the register against the contractors concerned. All enlistment authorities must ensure to fill up details of enlisted/suspended contractors on the U.P PROJECTS CORPORATION LTD. website.

There is a „List of Contractors“ on the website which has to be updated on fortnightly basis. Details can be entered by logging-in through Employee Login.

Each Zonal Office and HQ General Manager (Technical) should maintain a register for circulars imposing penalty of one kind or the other on the contractors in the following format.

9.1.1 Serial Number

9.1.2 Name of the Contractor.

9.1.3 Category and Class of Registration.

9.1.4 Warnings issued.

9.1.5 Suspension of business for years.

9.1.6 Demoted from Class to Class

9.1.7 Enlistment cancelled.

9.1.8 No. & Date of Office Circular.

9.1.9 Remarks

It would be the personal responsibility of the Staff officer of General Manager to ensure that he has received all the circulars imposing penalty on the contractors. At the time of handing over charge, the file and register should be handed over to his successor.

10.0 Managing Director U.P PROJECTS CORPORATION Ltd. an authorized for any change and correction in document for future.

11.0 The power to interpret the enlistment rules shall rest with the Managing Director, U.P PROJECTS CORPORATION Ltd.

12.0 The right to settle any dispute will be with the Managing Director, U.P Project Corporation Ltd., the decision taken by the Managing Director will be final.

13.0 The Jurisdiction to settle any dispute under the said terms and conditions will be that of the court located at Lucknow.

UP Projects Corporation Ltd.

(UP Government Undertaking)

CIN :U15209UP1976SGC004285



Application Form for Enlistment of Contractor

Gomti Barrage, Left bank Gomti Nagar, Lucknow-226010

Website : www.upprojects.upsdc.gov.in

Check List

Name of the Contractor.....

Name of the Firm.....

Category -

Class.....

Sl. No.	Description	Page Number
1	Application Form	
2	Registration Fee	
3	General Security Original (like as FD/NSC)	
4	Records related to Partner/Prop./Company Act	
5	Affidavit, Sole Proprietorship(Appendix A)	
6	Legal Details (Appendix B)	
7	Character Certificate (Appendix C)	
8	Solvency Certificate /Net Worth Certificate (Appendix D)	
9	Experience (Appendix E)	
10	List of Technical Staff With Degree/Diploma Certificate & Photo ID Proof (Appendix F)	
11	Tool & Plant's (Appendix G)	
12	Affidavit, Blood Relations and Relatives (Appendix H)	
13	Balance sheet (Last 3 years) Certified by CA	
14	I.T.R. (Last 3 years)	
15	G.S.T Registration Certificate	
16	Others:- Copy of PAN, Aadhar Card, Labour Registration, Enlistment certificate of other department & 3 Photograph.	

UP Projects Corporation Ltd.

Application Form For Registration Of Contractors

Sl. No.	Details	Details of Applicant		
1	Name of the contractor / name of the firm	<div style="border-bottom: 1px dotted black; height: 20px; width: 100%;"></div> <div style="border-bottom: 1px dotted black; height: 20px; width: 100%;"></div> <div style="border-bottom: 1px dotted black; height: 20px; width: 100%;"></div>		
2	Name and Designation of the applicant (Proprietor/Partner/Director etc.) Paste one photograph and Attach two photographs with this form	<div style="border-bottom: 1px dotted black; height: 20px; width: 100%;"></div> <div style="border-bottom: 1px dotted black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 10px; width: 150px; margin: 0 auto;"> Photograph with signature </div>	
		The photograph should be attested by gazetted _____ office r/notary.		
3	Address-			
i.	Office-			
ii.	Residence-			
iii.	Phone No:-			
	Mobile No.			
	WhatsApp No.			
iv.	E-mail-			
4	Category-Civil Work Category for which the application is being made, Write -----Yes Sub Category- means any one or more of the following works: (i) Construction of basement, [] (ii) Multilevel vehicular parking, []	Tendering Limit in Cr.	Class (06)	
		Upto 20.00 Cr.-50.00 Cr.	A+	
		Upto 5.00 Cr.-20.00 Cr.	A	
		Upto 2.00 Cr.-5.00 Cr.	B	
		Upto 0.5 Cr-2.00 Cr.	C	

7	<p>If there is a firm, the composition of the firm should be mentioned i.e. sole Proprietorship, Partnership, Private Limited, Limited etc.</p> <p>Note 1. Oath letter as per Appendix-A in case of Sole Proprietorship, Partnership Deed in case of Partnership (Registrar of Society), & In the case of Pvt. Ltd. Company, Article of Association should be attached.</p> <p>2. . Details of Firm as per Appendix-B</p>	<p>.....</p> <p>.....</p> <p>.....</p>	
8	Character certificate issued by the District Magistrate as per Appendix-C is attached ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9	Status/Solvency certificate issued by the District Magistrate as per Appendix-D is attached ?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
10	Details of main works on agreement executed in the last seven years in Appendix-E , as per the given details is attached? As per category*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
11	Those having private experience must be submit form 16 & 26As issued by employer.*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
13	List of Technical Staff Appendix-F as per the details given is attached? As per category*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
12	Details of Machinery/Tools and plants as per Appendix-G is attached? As per category*	<input type="checkbox"/> Yes	<input type="checkbox"/> No
14	Whether the Applicant or his Partners or Directors has been blacklisted by State Government Departments/ Organizations or Any Private or PSU. Appendix-H as per the details given is attached?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
18	Affidavit related to Blood Relation is Appendix-H as per the details given is attached?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
15	Balance sheet of last three years attested by a Chartered Accountant is attached?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
16	Income Tax Returns (Filed/assessed)of last three years (as in the preceding section attached.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
17	<p>Registration Number (Supporting document to be attached)</p> <p>1. Aadhar Card</p> <p>2. PAN-</p> <p>3. GST Registration Number-</p>	<p>.....</p> <p>.....</p> <p>.....</p>	

Rules for Enlistment of Contractors in U.P PROJECTS CORPORATION LTD. 2022

1. Title, extent and commencement
2. These rules may be called the Rules for Enlistment of Contractors in U.P PROJECTS CORPORATION LTD. 2022.
3. They shall hereinafter be referred to as Enlistment Rules, 2022 for the sake of brevity.
4. They extend to the whole of India.
5. They shall come into force with effect from 16th December 2022.
6. In these rules, unless the context otherwise requires:

(i.) **“Civil”** means construction of a residential or non-residential structure consisting of foundation, walls, floors, roofs, finishing, civil and electrical services, plumbing, water supply, sewer, necessary infrastructure like internal roads, boundary wall, external electrical services and horticulture work etc; related to campus of the building awarded under a single contract. Building work includes any one or more of the following works: construction of basement, multilevel vehicular parking, sports facilities, railway or metro station, airport terminal building, repair and maintenance, additions, alterations, renovations, up- gradations, electrical installations, electrical and mechanical services of buildings.

Exclusions: Building work does not include works of supply of materials, housekeeping, sweeping, care taking, watch & ward and other similar works involving labour component only. Building work also does not include operation and maintenance of electrical and mechanical services through original equipment manufacturers.

ii.) **“Category”** means category of enlistment under these rules.

iii.) **“Class”** means class of enlistment, in category, under these rules.

iv.) **“Contractor”** means an individual, partnership firm, limited liability partnership or company executing or intending to execute the work under a contract.

v.) **“Enlistment”** means enlistment of contractors in accordance with these rules.

vi.) **“Tendering limit”** means the upper limit determined by the estimated cost put to tender of a work of specified category, up to which an enlisted contractor can tender, subject to the eligibility conditions specified in the notice inviting tenders.

vii.) **“Work”** means the work contracted to be executed under a single contract/agreement.

General

i.) The object of enlistment of contractors is to have a ready list of suitable and competent contractors for U.P PROJECTS CORPORATION LTD. works so as to minimize the requirement of verification of their credentials at the time of individual tenders. At the same time, only those contractors are allowed to continue in the list that remain active in U.P PROJECTS CORPORATION LTD. and perform satisfactorily.

ii.) The enlistment of a contractor in U.P PROJECTS CORPORATION LTD. shall only entitle him to participate in the tenders, subject to the conditions of each notice inviting tender. It does not confer on him any right or claim to qualify him or to award work to him.

iii.) These rules may be revised or repealed by new rules. The enlistment of a contractor shall be governed by the revised or new rules existing at the relevant time, if any, and not by the rules prevailing at the time of enlistment.

iv.) The term U.P PROJECTS CORPORATION LTD. shall include U.P Projects Corporation Limited (A GOVERNMENT OF UTTAR PRADESH ENTERPRISE).

v.) Timely work completion, quality and behaviour of the bidder shall be considered at the time of Enlistment of Contractor.*

Terms and Conditions for Enlistment / Renewal of Contractors in U.P. Projects Corporation Limited

The Enlistment of the contractor is being done assuming that all the information given by applicant contractor are true. After enlistment, If the information submitted by the contractor comes to the notice of being false at any stage, his Enlistment will be cancelled with immediate effect.

7. The contractors will have to sign the registration form, and all the terms and conditions etc.
8. The contractors have to apply for renewal before the expiry of the registration period.
9. Registration form/contractor in various categories for civil construction works is authorized to take work up to the face value as follows-
10. Registration fee, renewal fee, general security and Solvency details

<i>Enlistment fee in Rs.</i>			
S No	Category and Class	<i>Fresh Enlistment Fee</i>	<i>Enlistment Renewal Fee</i>
1	A+	75,000	37500
2	A	40,000	20000
3	B	25,000	12500
4	C	15,000	7500
5	D	10,000	5000
6	E	5000	----

General Security		
Sl.No.	Category & Class	Required General Security Amount in Form of FDR/NSC & Pledged to
1	A+	Rs. 25.00 Lacs Pledged to “U. P Projects Corporation Limited” Lucknow.
2	A	Rs. 10.00 Lacs Pledged to “U. P Projects Corporation Limited” Lucknow.
3	B	Rs. 5.00 Lacs Pledged to “U. P Projects Corporation Limited” Lucknow.
4	C	Rs. 2.00 Lacs Pledged to “U. P Projects Corporation Limited” Lucknow.

5	D	Rs. 1.00 Lacs Pledged to “U. P Projects Corporation Limited” Lucknow.
6	E	Rs. 0.50 Lacs Pledged to “U. P Projects Corporation Limited” Lucknow.

<i>Requirement of Net Worth/ Solvency Certificate, amount in Rs. Crore</i>		
<i>Category</i>	<i>Civil</i>	
<i>S No</i>	<i>Class</i>	<i>Net Worth/ Solvency</i>
1	A+	8.00
2	A	2.00
3	B	0.80
4	C	0.20
5	D	0.04
6	E	0.02

11. The prescribed registration fee will be payable as per the category applied for. The amount of registration fee will be valid in the form of Demand Draft drawn in favour of UP Projects Corporation Ltd. payable at Lucknow.
12. General Security, maturity of FDR of nationalized bank which is pledged in the name of U.P. Projects Corporation Ltd. to be attached. The maturity of FDR should be 3 years.
13. There should be technical staff for each category of contractors as follows.

Requirements technical staff required for enlistment in Category-Civil								
Sl. No.	Requirement of Technical Qualification		Class-A+	Class A	Class B	Class C	Class D	Class E
1	Graduate Engineer (20 Year experience)		1	-	-	-	--	-
2	Graduate Engineer (10 Year experience)		1	1	-	-	--	-
3	Graduate Engineer (5 Year experience)/Diploma Engineer (10 Year experience)		2	1	1	-	--	-
4	Graduate Engineer (2 Year experience)/Diploma Engineer (5 Year experience)		2	2	2	2	--	-

14. The details of technical staff should be indicated as per Category (**Appendix-F**). If the information submitted by the contractor or information comes to the notice of being false at any stage, his Enlistment will be cancelled with immediate effect.

Minimum Machinery-tools and plants required for enlistment in flowing Category in each class –

Table 6: Requirements Machinery-tools and plants required for enlistment in Civil Category							
Sl. No.	Name of Equipment	Class A+	Class A	Class B	Class C	Class D	Class E
1	Concrete Mixer	9	4	3	2	-	-
2	Vibrators	12	8	6	4	-	-
3	Concrete Pump	2	1	-	-	-	-
4	Cube Testing Machine	1	1	1	1	-	-
5	Bar Cutting Machine	4	2	1	1	-	-
6	Bar bending Machine	2	1	-	-	-	-
7	Steel Shuttering Plate	9000 sqm	5000 sqm	-	-	-	-
8A	Steel scaffolding Adjustable telescopic props. Adjustable spans	16000 Nos	8000 Nos	5000 Nos	-	-	-
8B	Adjustable spans	4500 Nos	3000 Nos	2000 Nos	-	-	-
9	Electronic Total Station instrument	1	-	-	-	-	-
10	Ultra-Pulse Velocity Meter	1	1	-	-	-	-
11	Rebound Hammer Test Machine	1	1	1	1	-	-

The application shall submit an undertaking in the application form (Annexure-1) to hire or otherwise procure the required engineering establishment, tools, plants, and machinery, if not already available with him. In case the contractor fails to deploy the requisite engineering establishment, tools, plants, and machinery, either owned or hired as per requirement of work, then the contractor shall be liable for disciplinary action under these Enlistment Rules.

15. The details of Machinery/Equipment's & Plants should be as per Category (**Appendix-G**)
16. To blacklist the registered contractors for conduct contrary to the rules laid down by U. P. Projects Corporation Ltd., such as deteriorating the quality of work, not doing fine finishing, misbehaving with departmental employees/officers, etc., imposing reasonable penalties. And the officers of UP Projects Corporation Ltd. will have the right to prohibit them from participating in the tenders.
17. The applicant will have to give an affidavit to the effect that the close relative (blood relation) of any partner of the firm is not working in UP Projects Corporation Ltd. Blood relation means father, mother, brother-sister, uncle-tau, daughter, son and wife etc. If the contrary is found after registration, then the name of the contractor will be blacklisted. (as per **Appendix-H**)
18. The applicant has to attach the Character Certificate (as per **Appendix-C**) issued by the District Magistrate.

19. The applicant has to attach the solvency/net worth certificate (as per **Appendix-D & D (i)** issued by the District Magistrate / Nationalized Bank (The Bank must mention the validity period).
20. The photograph to be affixed with the certificates should be attested by a Gazetted Officer/Notary.
21. All the proceedings related to U.P Projects Corporation Ltd. such as tender, purchase, contract and bill etc. will have to be signed by the concerned contractor and only one person authorized by him will have to give an affidavit.
22. The officials of U.P Projects Corporation Ltd. will have the right to cancel the application if the desired record is not submitted along with the application form or due to any reason.
23. U.P Projects Corporation Ltd. reserves the right to cancel the application for registration/renewal without assigning any reason.
24. The registered contractor will have to follow the orders issued by U.P Projects Corporation Ltd. from time to time in future also.
25. A copy of the Income Tax Return for the last three years should be attached by the contractors to the Income Tax Department.
26. A certified copy of the Balance Sheet for the last three years from a Chartered Accountant will have to be submitted.

Nature and magnitude of work experience for category and class						
<i>Category: Civil(A+,A,B,C,D & E) Magnitude in Rs.Crore</i>						
	<i>Class</i>					
(a) Nature of completed work	A+	A	B	C	D	E
<i>Three Similar works each of value</i>	8.00	2.00	0.80	0.20	0.04	-
Or						
<i>Two Similar works each of value</i>	10.00	2.50	1.00	0.25	0.05	-
Or						
<i>One Similar work of value</i>	16.00	4.00	1.60	0.40	0.08	0.10
<u>Note for Civil Category:</u>						
1. Works having more than 40% E&M component shall not be considered for enlistment.						
2. For class A+ the applicant must have experience of one building of G+4 or more storey either as an eligible work or as part of some other work under different agreement. For this purpose, each basement/stilt floor will be considered as a storey. Mumty, lift machine room and water tank shall not be considered as a storey.						
3. For class A+, A and B the applicant must have experience of one building with Structure either as the eligible work or as part of some other work under different agreement.						

Note: The certificates issued by the above mentioned state departments/state institutions/public undertakings should mention the satisfactory completion of the works, which will be confirmed by the concerned department as per the requirement.

27. The registration of contractors will be done for two years only. For renewal of registered contractors, character certificate, status certificate and certificate of satisfactory completion of the work done will have to be attached, and it should be sent through the Project's manager office the work has been executed. Recommendation of the concerned office is must without which no renew will done.

28. If a firm is blacklisted by UP Projects Corporation for any reason, then the owner or partner of that firm is a partner or owner of any other firm, then that firm will also be blacklisted automatically.
29. Any advocate registered with the State Bar Council is eligible for registration/renewal of the contract. Even after the formation of the contract of work, if the above fact comes to notice, then in case of satisfaction and satisfaction, such registration/contract will be cancelled forthwith by promulgating a reasoned order by the Managing Director or the officer nominated by him.
30. No contract will also be accepted to such person/firm/company who come under the category of blacklisted in any other department. Applicants of this category are not eligible for registration/renewal.
31. Even after the contract has been awarded to any contractor, if any fact is proved that other potential tenderers have been threatened or prevented from participating in the process and tender by the concerned contractor / firm / company or it is found That the concerned contractor / person is **actively involved in mafia activities, anti-social works and organized criminal activities**, then the contract or contract awarded to him will be cancelled after receiving the inquiry report from the District Magistrate or the police.
32. The right to settle any dispute will be with the Managing Director, UP Project Corporation Limited, the decision taken by the Managing Director will be final.
33. The jurisdiction to settle any dispute under the said terms and conditions will be that of the court located at Lucknow.
34. Experience of sublet work by any contractor to any other contractor will not be accepted.
35. Electrical work, Fire fighting work and Anti Termite Treatment will have to be done through skilled agencies.
36. Affidavit should be done as per **Appendix H**.

AFFIDAVIT

(On Non Judicial Stamp paper of Rs. 100/- in case the individual who is the sole proprietor of the firm)

.....s/o.....

..... age years, occupation business r/o

..... do hereby state on oath as under:

That I am residing in locality of
District since last years.

That I am the sole proprietor of a proprietary concern name and style as
“.....” having it's office at

District dealing in business of Government, contracts and ancillary works
attached therefore.

Hence this affidavit.

Deponent _____

Note: This Affidavit should be notarized.

On a Non Judicial Stamp Paper of Rs. 100/-

Appendix B

**U.P. Projects Corporation Limited
Individual/Partnership/Private Ltd./Limited/Other**

S.No.	Individual/Partner/Name of Director	Age	Share (Percentage)	Technical Experience Year.....to Year.....	If Contractor have power of Attorney
1	2	3	4	5	6

Office of the District magistrate.....

Character Certificate

1. Name of the Applicant Shri/Smt -----
2. Father Husband's Name Shri -----
3. Age -----
4. Educational Qualification -----
5. Profession -----
6. Address (i)Permanent Address With Telephone
(ii)Temporary Address with Telephone
7. Details of criminal cases

Photograph

The details of the cases, criminal activities and anti-social acts registered against the person in the district should be given, if a criminal case is going on in the court, then its details should also be given. If blacklisted by the Irrigation Department, Public Works Department or other departments / corporations of the state government, then its details should also be given. The certificate should be issued only after specifically investigating the persons involved in mafia gangster activities and organized crimes and it must be mentioned in this column.

8 General reputation.....

9 Certificates :

Full factual information has been done by me regarding the work and conduct and character of Mr. Information about criminal cases against them has also been received from the police. After knowing all the facts, I certify that the work and conduct and character of Shri ----- is good, and that his work in the Irrigation Department, Public Works Department or any Department/Corporations of the State Government. In general, there is no objection to the work of the contractor.

Date:.....**Note:**

1. This certificate will be issued by the District Magistrate under his own signature, in his place the certificate will not be issued by any other officer.
2. Before giving the certificate and according to the need, the Senior Superintendent of Police / Superintendent of Police / Tehsildar / SDM / Additional District Officer or any other officer can get the report after getting the inquiry done.
3. Self-declaration affidavit can also be taken from concerned person.
4. This certificate will normally be valid for 2 years. If before this any criminal incident or any criminal case etc. is registered against the applicant or he is caught in any organized crime or in mafia activities or in anti-social activities, then it will be the responsibility of the police department to inform the district magistrate. / will give to the collector and the officials of the concerned department and the certificate will be cancelled immediately.
5. The entry of these certificates will be duly marked in a separate register in the office of the District Magistrate and in the office of the Senior Superintendent of Police / Superintendent of Police and a certified copy of the certificate issued must be kept in the register.
6. The final decision regarding issuance or cancellation of this certificate will be of the concerned District Magistrate / Collector.
7. An office copy of the certificate issued must be kept in the office of the Senior Superintendent of Police/Superintendent of Police and an entry will be made in a separate register, so that it remains in the record.
8. The person concerned will affix his/her latest passport size photograph attested by a Gazetted Officer at the designated place above the character

Solvency Certificate

1. Name of the applicant Person Form Name of the organization
2. Father's/Husband's Name
3. Residence
 - (a) Full Permanent Address with Telephone.....
 - (b) Temporary Address with Telephone.....
4. Business.....

Photograph

5. Details of property - Full details regarding movable / immovable property / status should be given by the District Magistrate in the following way

1. Immovable Property - Full details of land / plot / house / shop / business establishment / industry business etc. Whether this property is in the name of the contractor or in the name of any other person, it should be clearly mentioned. A certificate issued by the competent authority in this regard should be attached. The valuation / market value of the property and if the property is mortgaged in a bank or any financial institution, its details should also be given.

2. Movable property - Full details of motor vehicles / machines and other movable property used in construction work should be given, whether this property is in the name of the contractor or in the name of any other person, it should be clearly mentioned. A certificate issued by the competent authority in this regard should be attached. What is the valuation / market value of the property. If this property is mortgaged in a bank or any institution, then its details should also be given.

3. If there is any money in the bank or financial institution, then the name / account number of the bank and the details of the amount kept in it should be given. For this the certificate issued by the bank or financial institution should be attached.

4. If the amount deposited in the bank is shown as status for the status certificate, then that amount should be deposited in the bank at least 3 months in advance and must remain in the bank till the completion of the work.

5. PAN number of the applicant

I have been informed of the facts about the movable and immovable property of Shri----- and its details have been given as above. I certify that all the above facts are correct to the best of my knowledge and this certificate is being issued on the basis of factual report.

Note: 1. This certificate will be issued by the District Magistrate under his own signature, in his place the certificate should be issued by any other officer.

2. Before giving the certificate, according to the need, the Tehsildar / SDM / Additional District Magistrate / Bank Officer or any other officer can get the report after getting the inquiry done.

3. Self-declaration affidavit can also be taken from the person concerned.

4. This certificate will normally be valid for 2 years. If there is any important sale etc. or there is a deficiency before this, then it will be the responsibility of the concerned person to inform the District Officer / District Magistrate / Collector and the officers of the concerned department. and the amendment in the certificate will be issued.

5 The entry of this certificate will be duly marked in a separate register in the District Magistrate's office and a certified photo copy of the issued certificate must be kept in the register.

6 The final decision regarding issuance or cancellation of this certificate will be of the concerned District Magistrate, Collector.

7 The person concerned shall affix his/her latest passport size photograph attested by a Gazetted Officer at the designated place above the status certificate.

Appendix D-(i)

Form of Certificate of Net Worth from Chartered Accountant

It is to certify that as per the audited balance sheet and profit & loss account during the financial year....., the net worth of Shri/Smt./Ms.(Name & Registered Address of individual / firm/ company), as on (The date of certificate) is Rs.after considering all liabilities. It is further certified that the net worth of the individual/firm/company has not eroded by more than 30% during the last three years ending on (the date of certificate).

Unique Document Identification Number (UDIN)

(Signature of Chartered Accountant)

Name of Chartered Accountant

Membership No. of ICAI

Date and seal

Note: i. The date of certificate shall not be older than one month of the date of payment of processing fee.
ii. The Bank must mention the validity period.

Appendix E

U.P Projects Corporation Limited **Details of work Experience in Last Seven Years**

S.No.	Financial Year	Name of the Site	Name of the Department	Agreement No. with Date	Agreement Cost	Value of Work done according to Certified by the officer not below than Executive Engineer/Project Manager.	Month/Year of Start of the Work	Month/Year of Competition of Work
1	2	3	4	5	6	7	8	9

*Work experience must be Certified by the officer not below than Executive Engineer/Project Manager.

On a Non Judicial Stamp Paper of Rs. 100/-

Appendix F

**U.P Projects Corporation Limited
Details of Technical Staff**

S.No.	Name	Designation	Age	Educational Qualification	Technical Qualification	Experience Year..... To year.....
1	2	3	4	5	6	7

*Attested Copy of Educational Qualification/Technical Qualification Must be Attached with ID proof. If the information submitted by the contractor or information comes to the notice of being false at any stage, his Enlistment will be cancelled with immediate effect.

Note :- This Affidavit should be notarized.

On a Non Judicial Stamp Paper of Rs. 10/-

Appendix G

U.P Projects Corporation Limited
Details of Machinery/Tools/Equipments that is available with
Firm/Contractor

S.No.	Name of Machinery/ Tools/Equipment & Plant's	No. of Machinery/ Tools/ Equipment & Plant's	Minimum Required Nos for Category / Class A+, I- 1, H-1 & other class. As per Table no-6 to 6F		Available No.
1			Category-	Class-	
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					

Note :-This Affidavit should be Notarized.

U. P Projects Corporation Limited

Affidavit

I ----- Resident of -----
----- under oath declare that :

1. The oath-taker is a permanent resident of the above address.
2. The oath-taker Firm's Name is
3. Oath-taker or any partner of firm is not registered in any State Bar council.
4. Oath-taker or any relative of any member of Firm is not an employee of U. P Project Corporation Ltd.
5. Oath-taker firm is not black listed by any department.
6. Oath-taker firm or any member of proprietor firm is not involved Criminal Offences nor any F.I.R registered in any police station of the country. If the information submitted by the contractor is found being false at any stage, his Enlistment be cancelled and contractor/firm will be blacklisted with immediate effect and all the security deposit will be confiscated.

Date :-